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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/920,978	08/01/2001	Shane J. Trapp	MI22-1674	6594

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EXAMINER

BLUM, DAVID S

ART UNIT PAPER NUMBER

2813

DATE MAILED: 04/29/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/920,978

Applicant(s)

TRAPP, SHANE J.

Examiner

David S Blum

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 08 April 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 8-10, 14-16, 19-21, 47-52, 54, 55, 57-61, 63 and 64 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 8-10, 14-16, 19-21, 47-52, 54, 55, 57-61, 63 and 64 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 14.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____

This action is in response to Amendment D, paper #13, filed 04/08/03.

DETAILED ACTION

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 8-10, 14-16, 19-21, 48-52, 55, 57-61, and 63-64 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wolf (pages 40, 52-54, and 555-557) in view of Ding (US 5,814,563) and JP 200-349071.

Wolf teaches all of the positive steps of claims 8-10, 14-16, 19-21, 48-52, 55, 57-61, and 63-64 except for the use of ammonia as the source of hydrogen and various and multiple fluorocarbons, hydrocarbons, chlorofluorocarbons and chlorohydrocarbons, the fluorocarbons consisting of one of C₄F₆ and C₅F₈ and the volumetric ratio of all fluorocarbons to ammonia being from 40:1 to 20:1.

Wolf (page 40 volume 2 teaches etching a trench (page 52 shows a plurality of trenches, thus the mask had a plurality of trench openings as in claims 49-50 and 63-

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64) in a semiconductor by etching through a patterned mask of pad oxide, silicon nitride layer and photoresist, and into the silicon substrate (as in claim 50). Wolf also teaches (pages 555-557 volume 1) anisotropic plasma etching as in claims 10 and 59) through the mask and into the substrate using a dry etch of CF₄ gas and that the shape of the trench (result of etch selectivity) can be altered by adjusting the fluorine-to-carbon ratio with hydrogen additions and altering the etch chemistry to make the etchant more selective toward the photoresist. Wolf teaches the chlorofluorine gas for etching nitride, silicon oxide, and silicon. Wolf (pages 52-54) teaches etching a trench in a bulk semiconductor using fluorocarbons, the mask openings to form a plurality of trench isolations.

Ding teaches etching silicon oxide using fluorohydrocarbon gasses in an etching chemistry containing ammonia (NH₃, a source of hydrogen, abstract), thus the reactive components are ammonia and at least one fluorocarbon (including a fluorohydrocarbon as in claim 19, column 1 line 44). The etching is done in a magnetic field (magnetically enhanced plasma etching column 5 lines 13-15) as in claims 8-9 and 57-58, the preferred volumetric ratio of fluorohydrocarbon to ammonia is 2.5: to 7:1 (column 2 line 57) that encompasses limitations of 40:1 to 3:1 (taught in the instant specification, but not currently claimed). Ding's figure 3 also shows that volumetric ratios of 10+:1 were also used, thus encompassing the limitations of "no less than 9:1 (taught in the instant application, but not currently claimed). Ding also teaches using a combination of two fluorocarbons as in claims 14 and 60 (column 9 line 65-column 10 line 4) and (plural, at

least two, column 6 lines 7, "mixtures thereof" suggesting three, as in claims 15 and 61). Ding (column 5 lines 45-55) teaches that the etching chemistry comprises fluorocarbon gasses, NH_3 generating gas (ammonia), a carbon-oxygen gas, and an optional inert gas, thus teaching a chemistry which has reactive gasses consisting of fluorocarbon gasses and ammonia. Further, (column 9 lines 17-18) Ding teaches that the flow rate of carbon-oxygen is lower than that of the fluorocarbon, thus the combination of fluorocarbon and ammonia is greater than 50% of the mix, hence essentially fluorocarbon gasses and ammonia.

Ding teaches volumetric ratios of 2.5:1 to 7:1 (column 7 line 15) and graphs 10+:1 (figure 3) and suggests altering the ratio for different profile etches. The instant application teaches ratios of 40:1 to 2:1, more preferably 40:1 to 3:1, and even more preferably 40:1 to 4:1, and further preferably no less than 6:1 and more preferably no less than 9:1 (all anticipated by Ding), and on page 8 "further preferably at least 20:1, thus teaching no criticality between the ranges of 40:1 to 2:1. Thus the limitations in the claims are considered mere optimization. As taught by the instant specification, the ranges taught by Ding will work in the instant invention. These ranges are considered to involve routine optimization while it has been held to be within the level of ordinary skill in the art. As noted in re Aller, the selection of reaction parameters such as temperature and concentration would have been obvious:

"Normally, it is to be expected that a change in temperature, or in concentration, or in both, would be an unpatentable modification. Under some circumstances, however, changes such as these may impart patentability to a process if the particular ranges claimed produce a new and unexpected result which is different in kind and not

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merely degree from the results of the prior art. Such ranges are termed "critical ranges and the applicant has the burden of proving such criticality.... More particularly, where the general conditions of a claim are disclosed in the prior art, it is not inventive to discover the optimum or workable ranges by routine experimentation."

In re Aller 105 USPQ233, 255 (CCPA 1955). See also In re Waite 77 USPQ 586 (CCPA 1948); In re Scherl 70 USPQ 204 (CCPA 1946); In re Irmischer 66 USPQ 314 (CCPA 1945); In re Norman 66 USPQ 308 (CCPA 1945); In re Swenson 56 USPQ 372 (CCPA 1942); In re Sola 25 USPQ 433 (CCPA 1935); In re Dreyfus 24 USPQ 52 (CCPA 1934).

One skilled in the requisite art at the time of the invention would have used any ranges or exact figures suitable to the method in the process of etching regarding rate flows and concentrations using prior knowledge, experimentation, and observation with the apparatus used in order to optimize the process and produce the etch profile structure desired to the parameters desired.

The instant application teaches that the gasses can be introduced into the chamber either simultaneously or successively (as in claims 48 and 55). As there is no teaching as to unexpected results of one method (sequence) to another, there is no criticality between the two. Ding does not teach whether the gasses are introduced simultaneously or successively, but it is obvious that the method chosen must be one of the two. The examples only teach that the gasses are present.

It has been held that "[v]arying the details of a process, as by adding a step or splitting one step into two does not avoid infringement, where the processes are substantially identical or equivalent in terms of function, manner, and result. Universal Oil Products Co. v. Globe Oil and Refining Co., 322 U.S. 471, 61 USPQ 382 (1944); Ace Patents Corporation v. Exhibit Supply Co., 119 F.2d 349, 48 USPQ 667 (7th Cir. 1941); King-Seeley Thermos Co. v. Refrigerated Dispensers Inc., 354 F.2d 533, 148 USPQ 114 (10th Cir. 1965). Identity of the apparatus used for executing the processes is not material in itself. National Lead Company v. Western Lead Products Co., 324 F.2d 539, 139 USPQ 324 (9th Cir. 1963)." Excerpt from Matherson-Selig Co. v. Carl Gorr Color Card, Inc., 154 USPQ 265 (DC NIII 1967).

JP 2000-349071 teaches an apparatus for etching silicon, photoresists, and silicon nitride films using either CF₄, CF₄ and C₅F₈ (as in claim 52), or C₅F₈, with a nitrogen source (commonly ammonia) and with or without CO₂ gas. The use of C₅F₈ is preferred do to improved environmental results. Thus, using these fluorocarbons is well known in the art for etching these layers. The selection of a known material based on its suitability for its intended use supported a prime facie obviousness determination in *Sinclair and Carroll, Inc. v. Interchemical Corp.*, 325 U.S. 327, 65 USPQ 297 (1945) "Reading a list and selecting a known compound to meet known requirements is no more ingenious than selecting the last piece to put in the last opening in a jig-saw puzzle." 65 USPQ at 301).

Regarding claim 51, reciting the limitation that the fluorocarbon comprises C₄F₆, the instant specification reads "Non-limiting examples include such compounds as C₄F₈, C₄F₆, C₅F₈, C₂F₆, C₃F₈, CHF₃, and CH₂F₂". The applicant has not taught or demonstrated any criticality between the etchant gasses. Ding teaches using fluorocarbon gasses (column 5 lines 48-49) and fluoro-hydrocarbon gasses and as an example (not limited to) CHF₃, C₂F₆, C₃F₈, and C₄F₈ from the above list, as well as others (column 2 lines 62-67 and column 6 lines 2-7). JP2000349071 teaches C₅F₈, C₂F₆, and C₃F₈ from the above list (paragraph 004). Because the specification teaches a plurality of fluorocarbons that will work and has no evidence of unexpected results for

C₄F₆, the selection of C₄F₆ is an obvious choice of material (see Sinclair and Carroll, Inc. v. Interchemical Corp cited above).

One skilled in the requisite art at the time of the invention would modify Ding, JP 2000-349071 and Wolf by including C₄F₆ as one of the fluorocarbons as an etching gas because Ding and Wolf teach fluorocarbons and C₄F₆ is an empirical formula for several fluorocarbon.

One skilled in the requisite art at the time of the invention would modify Ding, and Wolf by including multiple fluorocarbons in conjunction with ammonia as a hydrogen source and specifically C₅F₈ as taught by JP 2000-349071 to reduce environmental concerns, with reasonable expectation of producing a trench with better control of the etch profile angle (Ding column 1 line 55, Wolf page 552).

3. Claims 47 and 54 are rejected under 35 U.S.C. 103(a) as being unpatentable over Wolf in view of Ding (US 5,814,563) and JP 200-349071 as applied to claims 16 and 20 above, and further in view of Lucent Technologies.

Wolf and Ding teach all of the positive steps of claims 47 and 54 as recited above except for the use of a 193-nanometer photoresist. Ding (priority date 1996) uses a photoresist and gives as an example, a Riston photoresist. The release by Lucent Technologies (4/1997) announce a 193 nanometer photoresist for use in smaller and smaller designs in microelectronics (paragraph 3). As the trend in semiconductors is to

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decrease device size and increase density, it is obvious that one skilled in the art would alter a process to encompass new, known equipment for decreasing device size and increasing device density.

One skilled in the requisite art at the time of the invention would modify Ding by using a newer photoresist developed by Lucent Technologies with reasonable expectation of producing a pattern on a semiconductor with smaller device dimensions.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to David S. Blum whose telephone number is (703)-306-9168 and e-mail address is David.blum@USPTO.gov .

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Carl Whitehead Jr., can be reached at (703)-308-4940. Our facsimile number for Before-Final Communications is (703)- 872-9318 and for After-Final Communications is (703)- 872-9319. The facsimile number for customer service is (703)-872-9317. Our receptionist's number is (703)-308-0956.



David S. Blum

April 25, 2003